

07/16/03
18334 U.S. PTO

Under the Paperwork Reduction Act of 1995, no person are required to respond to a collection of information unless it displays a valid OMB control number

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 48836-00002
First Inventor Robert MAERZ
Title Method and System for Offering Securities Based in Entertainment Concepts

Express Mail Label No. N/A

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 27]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 3]
5. Oath or Declaration [Total Pages]
 - a. ☐ New executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement [] Power of (when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure [x] Copies of IDS Statement (IDS)/PTO/SB/08a Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35
17. ☒ Other Unexecuted Declaration and Power of Attorney
Check in the amount of \$645.00

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

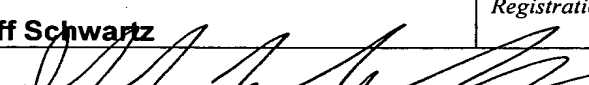
☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application no. 09/813,808 filed 3.22.2001
Prior application information which is a provisional Application, Serial No. 60/224,351 filed 11 August 2000.

Prior application information: Examiner: [unassigned] Art Unit: 2161

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label [23767] or ☐ Correspondence address below

| | | | | | |
|-------------------|---|-----------|--------------|-----------------------------------|--------------|
| Name | Preston Gates Ellis & Rouvelas Meeds LLP | | | | |
| Address | 1735 New York Avenue NW, Suite 500 | | | | |
| City | Washington | State | DC | Zip Code | 20006 |
| Country | USA | Telephone | 202-628-1700 | Fax | 202-331-1024 |
| Name (Print/Type) | Jeff Schwartz | | | Registration No. (Attorney/Agent) | 39,019 |
| Signature |  | | | Date | 16 July 2003 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

21908 U.S. PTO
10/619510

07/16/03

18334 U.S. PTO
07/16/03

Attorney Docket No. 48836-00002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re U.S. Patent Application of

Robert MAERZ et al.

Serial No.: [not yet assigned]

Filed: 16 July 2003

For: METHOD AND SYSTEM FOR OFFERING SECURITIES BASED IN
ENTERTAINMENT CONCEPTS

PATENT OFFICE FEE TRANSMITTAL LETTER

Commissioner for Patents
Alexandria, VA 22313

Sir:

The following fees are enclosed in connection with the filing of the attached papers:

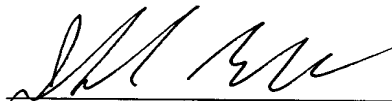
Basic Filing Fee (Small Entity).....\$375.00

Thirty (30) Claims in Excess of Twenty270.00

It is not believed that any further fees are due in connection with the filing of the attached papers. However, the Commissioner is authorized to charge any underpayment or credit any overpayment of fees to the undersigned's Deposit Account No. 50-1067. A duplicate of this paper is enclosed.

Respectfully submitted,

Date: 16 July 2003


Jeff Schwartz
Reg. No. 39,019

Preston Gates Ellis & Rouvelas Meeds LLP
1735 New York Avenue, N.W.
Suite 500
Washington, D.C. 20006-5209
Telephone: (202) 628-1700
Facsimile: (202) 331-1024